

JFW

**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application Number	10/765,561
	Filing Date	1/26/04
	First Named Inventor	Hong et al
	Art Unit	2661
	Examiner Name	Unassigned
Total Number of Pages in This Submission	Attorney Docket Number	034421-000179

**ENCLOSURES (check all that apply)**

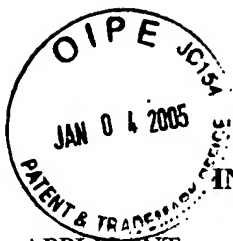
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/ Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer  <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____  <input type="checkbox"/> Landscape Table on CD	<input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter  <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Copy of Filing Receipt, Replacement Correction to Filing Receipt, Patent Practitioners To Be Made Of Record, Copy of Declaration & Power of Attorney, Postcard
<div>Remarks</div>		

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm	THELEN REID & PRIEST, LLP		
Signature			
Printed Name	Thierry K. Lo		
Date	12/28/2004	Reg. No.	49,097

**CERTIFICATE OF TRANSMISSION/MAILING**

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.			
Signature			
Typed or printed name	Ruth Rodriguez	Date	12/28/04



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Hong et al  
SERIAL NO.: 10/765,561  
FILING DATE: 1/26/04  
TITLE: SYSTEM AND METHOD FOR DYNAMICALLY LOAD BALANCING  
TRAFFIC IN A WIRELESS NETWORK  
EXAMINER: Unassigned  
ART UNIT: 2661

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**Certificate of Mailing**

I hereby certify that this paper is being deposited with the United States Postal Service as First Class  
Mail in an envelope addressed to: MAIL STOP: Office of Initial Patent Examination, P.O. Box  
1450 Alexandria, VA 22313-1450 on the date printed below:

Date: December 28, 2004

Signature: Ruth Rodriguez

Ruth Rodriguez

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MAIL STOP: Office of Initial Patent Examination  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**REPLACEMENT TO FILING RECEIPT**

Applicants respectfully submit that the filing receipt contains the following errors, and  
correction of same is requested:

- It incorrectly identifies "David B. Ritchie, Registration No. 31,562; Steven J. Robbins, Registration No. 40,299; William Samuel Niece, Registration No.: 47,824; John Klaas Uilkema, Registration No. 20,282; Becky L. Troutman, Registration No. 36,703;" under the Power of Attorney. A power of attorney (attached) was originally submitted on "*September 24, 2004*". Additionally we submit herewith a document identifying "Patent Practitioners to be made of Record under 37 C.F.R. §1.32(c)(3)" to limit those identified to ten or fewer practitioners. Therefore, please amend the appropriate records to reflect the correct listing of attorneys for the above referenced patent application.

- The spelling of Applicant Leigh Michael Chinitz is incorrect. The correct spelling is **Leigh Michael Chinitz** and not *Liegh Michael Chinitz*. Therefore, please amend the appropriate records to reflect the correct applicant spelling for the above referenced patent application.

Enclosed herewith in support of the above is the following:


- An annotated copy of the filing receipt indicating the above corrections;
- A true copy of the Declaration & Power of Attorney as filed on September 24, 2004.

The Commissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 50-1698.

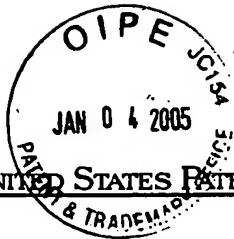
Respectfully submitted,

THELEN REID & PRIEST LLP

Dated: December 28, 2004

  
\_\_\_\_\_  
Thierry K. Lo  
Reg. No. 49,097

THELEN REID & PRIEST LLP  
P.O. Box 640640  
San Jose, CA 95164-0640  
Telephone: (408) 292-5800  
Fax: (408) 287-8040



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
 www.uspto.gov

APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/765,561	01/26/2004	2661	493	034421-000179	2	4	4

CONFIRMATION NO. 8138

UPDATED FILING RECEIPT

\*OC000000014086662\*

\*OC000000014086662\*

Robert E. Krebs  
 Thelen Reid & Priest, LLP  
 P.O. Box 640640  
 San Jose, CA 95164-0640

Date Mailed: 10/14/2004

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Hilton Hong, San Jose, CA;  
 Sherman Shih, Cupertino, CA;  
~~Leigh~~ Michael Chinitz, Wellesley, MA;

Leigh Michael Chinitz

## Assignment For Published Patent Application

Proxim Corporation, a Delaware Corporation

Power of Attorney: None

see Patent Practitioners to be made of Record

## Domestic Priority data as claimed by applicant

This appln claims benefit of 60/443,138 01/27/2003

Reviewed By: MP Date: 11/10/04

No Action Required:

Action Required: ✓ POA; Chinitz name  
misspelled.

## Foreign Applications

If Required, Foreign Filing License Granted: 05/03/2004

The number of your priority application, to be used for filing abroad under the Paris Convention is,  
**US10/765,561**

Projected Publication Date: 01/20/2005

Non-Publication Request: No

Mail log \_\_\_\_\_ Date \_\_\_\_\_  
 CPI \_\_\_\_\_ Date \_\_\_\_\_  
 Excel \_\_\_\_\_ Date \_\_\_\_\_  
**DOCKETED**  
**OCT 21 2004**

**Early Publication Request: No**

**\*\* SMALL ENTITY \*\***

**Title**

System and method for dynamically load balancing traffic in a wireless network

**Preliminary Class**

370

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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

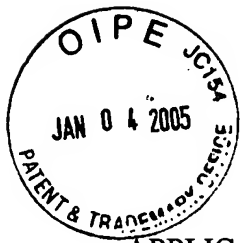
The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



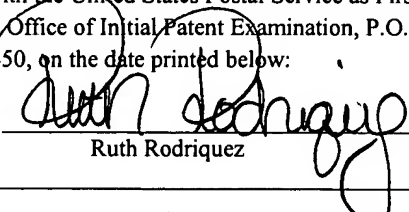
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Hong et al  
SERIAL NO.: 10/765,561  
FILING DATE: 1/26/04  
TITLE: SYSTEM AND METHOD FOR DYNAMICALLY LOAD BALANCING  
TRAFFIC IN A WIRELESS NETWORK  
EXAMINER: Unassigned  
ART UNIT: 2661

Certificate of Mailing

I hereby certify that this paper is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to: MAIL STOP: Office of Initial Patent Examination, P.O. Box 1450 Alexandria, VA 22313-1450, on the date printed below:

Date: December 23, 2004

Signature: 

Ruth Rodriguez

MAIL STOP: Office of Initial Patent Examination  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

PATENT PRACTITIONERS TO BE MADE OF RECORD

Please recognize the following ten patent practitioners in the attached Declaration and Power of Attorney as being of record in the application or patent to which the power of attorney is directed:

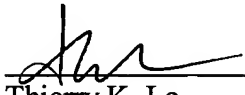
Robert E. Krebs, Reg. No. 25,885  
Marc S. Hanish, Reg. No. 42,626  
Khaled Shami, Reg. No. 38,745  
John P. Schaub, Reg. No. 42,125  
William Winters, Reg. No. 42,232

Adrienne Yeung, Reg. No. 44,000  
Thierry K. Lo, Reg. No. 49,097  
Hal J. Bohner, Reg. No. 27,856  
Yukiko Maekawa, Reg. No. 50,307  
Masako Ando, (37 C.F.R. §10.9 (b))

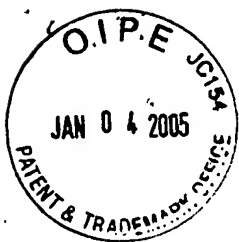
The Commissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 50-1698.

Respectfully submitted,  
THELEN REID & PRIEST LLP

Dated: December 28, 2004

  
\_\_\_\_\_  
Thierry K. Lo  
Reg. No. 49,097

THELEN REID & PRIEST LLP  
P.O. Box 640640  
San Jose, CA 95164-0640  
Telephone: (408) 292-5800  
Fax: (408) 287-8040

**DECLARATION & POWER OF ATTORNEY**

As a below-named inventor, I hereby declare that:

My correct city and state of residence, my post office address and my citizenship are stated below next to my name.

I believe myself to be the original, first and sole inventor (if only one name is listed below) or an original and first joint inventor (if more than one name is listed below) of the subject matter which is disclosed and claimed and for which a patent is sought on the invention entitled:

**"SYSTEM AND METHOD FOR DYNAMICALLY LOAD BALANCING TRAFFIC  
IN A WIRELESS NETWORK"**

The specification of this subject matter:

- ☐ is attached hereto.
- ☒ was filed on January 26, 2004;  
was assigned serial No. 10/765,561;  
which was amended on \_\_\_\_\_;

I hereby state that I have reviewed and understand the contents of the above-identified patent application, including the claims, as amended by any amendment(s) referred to above. I do not know and do not believe that the claimed invention was ever known or used in the United States of America before my invention thereof, or patented or described in any printed publication in any country before my invention thereof or more than one year prior to this application, that the same was not in public use or on sale in the United States of America more than one year prior to this application, and that the invention has not been patented or made the subject of an inventor's certificate issued before the date of this application in any country foreign to the United States of America on an application filed by me or my legal representatives or assigns more than twelve months (for a utility patent application) or six months (for a design patent application) prior to this application.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with 37 C.F.R. §1.56(a).

I hereby claim foreign priority benefits under 35 U.S.C. §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

**PRIOR FOREIGN APPLICATION(S)****Priority Claimed**

Number	Country	Month/Day/Year Filed	Yes	No
Number	Country	Month/Day/Year Filed	Yes	No
Number	Country	Month/Day/Year Filed	Yes	No



**PROVISIONAL PATENT APPLICATION(S)**

I hereby claim the benefit under 35 U.S.C. §119(e) of any United States provisional application(s) listed below:

60/443,138	January 27, 2003
Application Number	Filing Date

**PARENT PATENT APPLICATION(S)**

I hereby claim the benefit under 35 U.S.C. §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in these prior United States application(s) in the manner provided by 35 U.S.C. §112, I acknowledge the duty to disclose material information as defined in 37 C.F.R. §1.56(a) which occurred between the filing date of the prior application(s) and the national or PCT international filing date of this application.

Application No.	Filing Date	Status (Issued, Pending, Abandoned)
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Application No.	Filing Date	Status (Issued, Pending, Abandoned)
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Application No.	Filing Date	Status (Issued, Pending, Abandoned)
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Application No.	Filing Date	Status (Issued, Pending, Abandoned)
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I hereby appoint David B. Ritchie, Registration No. 31,562; Robert E. Krebs, Registration No. 25,885; Marc S. Hanish, Registration No. 42,626; John P. Schaub, Registration No. 42,125; Adrienne Yeung, Registration No. 44,000; Steven J. Robbins, Registration No. 40,299; Thierry K. Lo, Registration No. 49,097; William Samuel Niece, Registration No.: 47,824; Khaled Shami Registration No. 38,745; William E. Winters, Registration No. 42,232, Masako Ando, (37 C.F.R. §10.9 (b)); Yukiko Maekawa Registration No. 50,307 and John Klaas Uilkema, Registration No. 20,282; Becky L. Troutman, Registration No. 36,703; Hal J. Bohner, Registration No. 27,856; as attorneys of record with full power of substitution and revocation, to prosecute this application and transact all business in the United States Patent and Trademark Office connected therewith. If this application is assigned by me I agree and understand that the above-named attorneys will represent the assignee and not me.

Please send all correspondence and direct all telephone calls to:

Robert E. Krebs  
Thelen Reid & Priest LLP  
P.O. Box 640640  
San Jose, CA 95164-0640  
Telephone: (408) 292-5800  
Facsimile: (408) 287-8040

I, the undersigned, declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing therefrom.

**FULL NAME OF FIRST Name  
INVENTOR 1****MIDDLE Initial(s)****LAST Name**

Hilton			Hong
RESIDENCE AND CITIZENSHIP	City	State or Foreign Country	Country of Citizenship

San Jose	California	United States	
POST OFFICE ADDRESS	Number and Street	City	State or Country Zip Code

1314 Petal Way	San Jose	California	95129
----------------	----------	------------	-------

**FULL NAME OF FIRST Name  
INVENTOR 2****MIDDLE Initial(s)****LAST Name**

Sherman			Shih
RESIDENCE AND CITIZENSHIP	City	State or Foreign Country	Country of Citizenship

Cupertino	California	Canada	
POST OFFICE ADDRESS	Number and Street	City	State or Country Zip Code

7457 De Foe Drive	Cupertino	California	95014
-------------------	-----------	------------	-------

**FULL NAME OF FIRST Name  
INVENTOR 3****MIDDLE Initial(s)****LAST Name**

Liegh			Chinitz
RESIDENCE AND CITIZENSHIP	City	State or Foreign Country	Country of Citizenship

Wellesley	Massachusetts	USA	
POST OFFICE ADDRESS	Number and Street	City	State or Country Zip Code

28 Bay View Road	Wellesley	Massachusetts	02482
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I further declare that all statements made herein of my own knowledge are true and that all statements made upon information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under

Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

<u>Hilton Hong</u>	<u>8/28/04</u>
Hilton Hong	Date

<u>Sherman Shih</u>	<u></u>
Sherman Shih	Date

<u>Leigh Michael Chinitz</u>	<u></u>
Leigh Michael Chinitz	Date

**FULL NAME OF FIRST Name  
INVENTOR 1****MIDDLE Initial(s)****LAST Name**

<u>Hilton</u>	<u>San Jose</u>	<u>California</u>	<u>Hong</u>
RESIDENCE AND CITIZENSHIP	City	State or Foreign Country	Country of Citizenship

<u>San Jose</u>	<u>California</u>	<u>United States</u>
POST OFFICE ADDRESS	Number and Street	City State or Country Zip Code

<u>1314 Petal Way</u>	<u>San Jose</u>	<u>California</u>	<u>95129</u>
-----------------------	-----------------	-------------------	--------------

**FULL NAME OF FIRST Name  
INVENTOR 2****MIDDLE Initial(s)****LAST Name**

<u>Sherman</u>	<u>Cupertino</u>	<u>California</u>	<u>Shih</u>
RESIDENCE AND CITIZENSHIP	City	State or Foreign Country	Country of Citizenship

<u>Cupertino</u>	<u>California</u>	<u>Canada</u>
POST OFFICE ADDRESS	Number and Street	City State or Country Zip Code

<u>7457 De Foe Drive</u>	<u>Cupertino</u>	<u>California</u>	<u>95014</u>
--------------------------	------------------	-------------------	--------------

**FULL NAME OF FIRST Name  
INVENTOR 3****MIDDLE Initial(s)****LAST Name**

<u>Liegh</u>	<u>Michael</u>	<u>Chinitz</u>
RESIDENCE AND CITIZENSHIP	City	State or Foreign Country Country of Citizenship

<u>Wellesley</u>	<u>Massachusetts</u>	<u>USA</u>
POST OFFICE ADDRESS	Number and Street	City State or Country Zip Code

<u>28 Bay View Road</u>	<u>Wellesley</u>	<u>Massachusetts</u>	<u>02482</u>
-------------------------	------------------	----------------------	--------------

I further declare that all statements made herein of my own knowledge are true and that all statements made upon information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under

Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Hilton HongDateSherman ShihDate9/20/2004Leigh Michael ChinitzDate


<b>FULL NAME OF FIRST Name</b>		<b>MIDDLE Initial(s)</b>	<b>LAST Name</b>	
INVENTOR 1			Hilton Hong	
RESIDENCE AND	City	State or Foreign Country	Country of Citizenship	
CITIZENSHIP				
San Jose		California	United States	
POST OFFICE	Number and Street	City	State or Country	Zip Code
ADDRESS				
1314 Petal Way		San Jose	California	95129
<b>FULL NAME OF FIRST Name</b>		<b>MIDDLE Initial(s)</b>	<b>LAST Name</b>	
INVENTOR 2			Sherman Shih	
RESIDENCE AND	City	State or Foreign Country	Country of Citizenship	
CITIZENSHIP				
Cupertino		California	Canada	
POST OFFICE	Number and Street	City	State or Country	Zip Code
ADDRESS				
7457 De Foe Drive		Cupertino	California	95014
<b>FULL NAME OF FIRST Name</b>		<b>MIDDLE Initial(s)</b>	<b>LAST Name</b>	
INVENTOR 3			Liegh Michael Chinitz	
RESIDENCE AND	City	State or Foreign Country	Country of Citizenship	
CITIZENSHIP				
Wellesley		Massachusetts	USA	
POST OFFICE	Number and Street	City	State or Country	Zip Code
ADDRESS				
28 Bay View Road		Wellesley	Massachusetts	02482

I further declare that all statements made herein of my own knowledge are true and that all statements made upon information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under

Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Hilton Hong \_\_\_\_\_ Date \_\_\_\_\_

Sherman Shih \_\_\_\_\_ Date \_\_\_\_\_

 \_\_\_\_\_ Date 8/18/2004

Leigh Michael Chinitz \_\_\_\_\_

**37 C.F.R. §1.56****Duty to disclose information material to patentability**

(a) A patent by its very nature is affected with a public interest. The public interest is best served, and the most effective patent examination occurs when, at the time an application is being examined, the Office is aware of and evaluates the teachings of all information material to patentability. Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the Office which includes a duty to disclose to the Office all information known to that individual to be material to patentability as defined in this section. The duty to disclose information exists with respect to each pending claim until the claim is cancelled or withdrawn from consideration, or the application becomes abandoned. Information material to the patentability of a claim that is cancelled or withdrawn from consideration need not be submitted if the information is not material to the patentability of any claim remaining under consideration in the application. There is no duty to submit information which is not material to the patentability of any existing claim. The duty to disclose all information known to be material to patentability is deemed to be satisfied if all information known to be material to patentability of any claim issued in a patent was cited by the Office or submitted to the Office in the manner prescribed by §§1.97(b)-(d) and 1.98. However, no patent will be granted on an application in connection with which fraud on the Office was practiced or attempted or the duty of disclosure was violated through bad faith or intentional misconduct. The Office encourages applicants to carefully examine:

- (1) Prior art cited in search reports of a foreign patent office in a counterpart application, and
- (2) The closest information over which individuals associated with the filing or prosecution of a patent application believe any pending claim patentably defines, to make sure that any material information contained therein is disclosed to the Office.

(b) Under this section, information is material to patentability when it is not cumulative to information already of record or being made of record in the application, and

- (1) It establishes, by itself or in combination with other information, a prima facie case of unpatentability of a claim; or
- (2) It refutes, or is inconsistent with, a position the applicant takes in:
  - (i) Opposing an argument of unpatentability relied on by the Office, or
  - (ii) Asserting an argument of patentability.

A prima facie case of unpatentability is established when the information compels a conclusion that a claim is unpatentable under the preponderance of evidence, burden-of-proof standard, giving each term in the claim its broadest reasonable construction consistent with the specification, and before any consideration is given to evidence which may be submitted in an attempt to establish a contrary conclusion of patentability.

(c) Individuals associated with the filing or prosecution of a patent application within the meaning of this section are:

- (1) Each inventor named in the application;
- (2) Each attorney or agent who prepares or prosecutes the application; and
- (3) Every other person who is substantively involved in the preparation or prosecution of the application and who is associated with the inventor, with the assignee or with anyone to whom there is an obligation to assign the application.

(d) Individuals other than the attorney, agent or inventor may comply with this section by disclosing information to the attorney, agent, or inventor.